



PATENT  
ATTY. DOCKET NO.: STEM1110-4

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Twardzik, *et al.* Art Unit: 1647  
Application No.: 10/039,119 Examiner: Unassigned  
Filed: January 4, 2002  
Title: TGF- $\alpha$  POLYPEPTIDES, FUNCTIONAL FRAGMENTS AND  
METHODS OF USE THEREFOR

**Box Sequence**

U.S. Patent and Trademark Office  
P.O. Box 2327  
Arlington, VA 22202

**TRANSMITTAL LETTER**

Sir:

Transmitted herewith for the above-identified application please find:

1. Statement Under 37 C.F.R. §§ 1.821(f) and (g) (1 pg.);
2. Verified Statement Under 37 C.F.R. § 1.821(f) (1 pg.);
3. Response to Notice to Comply with Sequence Listing Requirements Under 37 C.F.R. §§ 1.821-1.825 (2 pgs.);
4. Sequence Listing (3 pgs.);
5. Sequence Listing in computer readable form (3.5" disk);
6. Copy of Notice to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures (2 pgs.); and
7. Return Postcard

RECEIVED  
APR 15 2002  
TECH CENTER 1600/290

**CERTIFICATION UNDER 37 CFR §1.8**

I hereby certify that the documents referred to as enclosed herein are being deposited with the United States Postal Service as first class mail on this date, April 5, 2002, in an envelope addressed to: U.S. Patent and Trademark Office Box Sequence, P.O. Box 2327, Arlington, VA 22202.

**Mikhail Bayley**

Name of Person Mailing Paper

*Mikhail Bayley*

April 5, 2002

Signature

Date

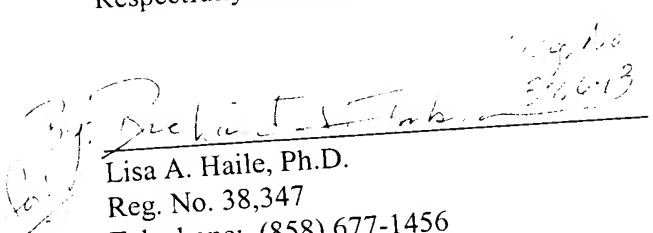
In re Application of:  
Twardzik *et al.*  
Application No.: 10/039,119  
Filed: January 4, 2002  
Page 2

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No fee is deemed necessary in connection with the filing of this paper. However, if any fee is required, the Commissioner is hereby authorized to charge the amount of this fee, or credit any overpayments, to Deposit Account No. 50-1355. A copy of this Transmittal Sheet is enclosed.

Respectfully submitted,

Date: April 5, 2002

  
Lisa A. Haile, Ph.D.  
Reg. No. 38,347  
Telephone: (858) 677-1456  
Facsimile: (858) 677-1465

GRAY CARY WARE & FREIDENRICH LLP  
4365 Executive Drive, Suite 1100  
San Diego, California 92121-2133

USPTO Customer Number: 28213

PATENT DOCKETING

FEB 12 2002

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UNITED STATES PATENT AND TRADEMARK OFFICECOMMISSIONER FOR PATENTS  
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WASHINGTON, D. C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/039,119	01/04/2002	Daniel R. Twardzik	STEM1110-4

28213  
GARY CARY WARE & FRIENDENRICH LLP  
4365 EXECUTIVE DRIVE  
SUITE 1600  
SAN DIEGO, CA 92121-2189

CONFIRMATION NO. 1736

FORMALITIES LETTER



\*OC000000007433247\*

Date Mailed: 02/06/2002

**NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS  
CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE  
DISCLOSURES**

Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file the items indicated below to avoid abandonment. Extensions of time may be obtained under the provisions of 37 CFR 1.136(a).

- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)

*A copy of this notice MUST be returned with the reply.*

*Khushboo Baghel*  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



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Arlington, VA 22202

**STATEMENT UNDER 37 C.F.R. §§ 1.821(f) and (g)**

Sir:

I hereby state, as required by 37 C.F.R. § 1.821(f), that the information recorded in computer readable form is identical to the written sequence listing.

I hereby state that the submission, filed in accordance with 37 C.F.R. § 1.821 (g), herein does not include new matter.

Respectfully submitted,

Date: April 5, 2002

*Lisa A. Haile, Ph.D.*  
Lisa A. Haile, Ph.D.

Reg. No. 38,347

Telephone: (858) 677-1456

Facsimile: (858) 677-1465

GRAY CARY WARE & FREIDENRICH LLP  
4365 Executive Drive, Suite 1100  
San Diego, CA 92121-2133

**Customer Number: 28213**

CERTIFICATION UNDER 37 CFR §1.8	
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<b>Mikhail Bayley</b>	
Name of Person Mailing Paper	<i>Mikhail Bayley</i>
Signature	Date <u>April 5, 2002</u>



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**VERIFIED STATEMENT UNDER 37 C.F.R. § 1.821(f)**

Sir:

I, Mikhail Bayley, declare that I personally prepared the paper and the computer-readable copies of the Sequence Listing filed herewith in the above-entitled case and that the content of both is the same.

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of The United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Date: 04/04/2002

Mikhail Bayley  
Mikhail Bayley

GRAY CARY WARE & FREIDENRICH LLP  
4365 Executive Drive, Suite 1100  
San Diego, CA 92121-2133

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<b>Mikhail Bayley</b>	
Name of Person Mailing Paper	April 5, 2002
Signature	Date



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**RESPONSE TO NOTICE TO COMPLY**

**WITH SEQUENCE LISTING REQUIREMENTS UNDER 37 C.F.R. §§ 1.821-1.825**

Dear Sir:

In response to the notice to comply with requirements for patent applications containing nucleotide sequence and/or amino acid sequence disclosures mailed February 6, 2002, Applicant provides herewith a computer readable and a paper copy of the Sequence Listing in accordance with 37 C.F.R. § 1.821 *et seq.*

Please amend the application as follows:

**In the Specification:**

Following the abstract, please insert the attached Sequence Listing with subsequent page numbering thereafter.

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If the Examiner would like to discuss any of the issues raised in this Amendment or the attached sequence listing, Applicants' representative can be reached at (858) 677-1456.

Respectfully submitted,

Date: April 5, 2002

*By: Richard D. Haile* *Reg. No. 38,347*  
\_\_\_\_\_  
Lisa A. Haile, Ph.D.  
Reg. No. 38,347  
Telephone: (858) 677-1456  
Facsimile: (858) 677-1465

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